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Paper No.

Group 2700

File: NewMrkt-P99-4



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Date: 1/20/2000

Signed: PKT  
Peter K. Trzyna (Reg. No. 32,601)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Inventor : Anthony F. Herbst and Wayne F. Perg  
Serial No. : 09/467,646  
Filed : December 20, 1999  
For : DIGITAL COMPUTER SYSTEM FOR OPERATING  
A CUSTOMIZABLE INVESTMENT FUND  
Group Art Unit : 2761  
Examiner : Unknown

Honorable Commissioner of Patents  
and Trademarks  
Washington, D.C. 20231

TRANSMITTAL LETTER

SIR:

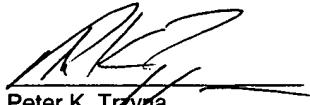
Please enter the following enclosed documents in the above-identified  
patent application.

1. Information Disclosure Statement;
2. Form PTO-1449;
3. Art cited on Form PTO-1449.

The Commissioner is hereby authorized to charge any fees associated with  
the above-identified patent application or credit any overcharges to Deposit Account No.  
50-0235. Please direct all correspondence to the undersigned at the address given below.

Respectfully submitted,

Date: 1/20/2000

  
Peter K. Trzyna  
(Reg. No. 32,601)

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PATENT

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PL

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Inventor : Anthony F. Herbst and Wayne F. Perg  
Serial No. : 09/467,646  
Filed: December 20, 1999  
For : DIGITAL COMPUTER SYSTEM FOR  
OPERATING A CUSTOMIZABLE INVESTMENT  
FUND  
Group Art Unit : 2761  
Examiner : Unknown

Assistant Commissioner of Patents  
Washington, D.C. 20231

**INFORMATION DISCLOSURE STATEMENT**

SIR:

This Information Disclosure Statement is being filed pursuant to the duty of disclosure, candor, and good faith embodied in 37 C.F.R. §§ 1.56 and 1.97 owed by the inventor, the inventor's assignee substantively involved in the application, and the patent attorney to the United States Patent and Trademark Office. Submitted herewith are patents, publications, and other information of which the inventor is aware to help make this information of record.

**I. COMMENT ON THE ENCLOSED PRIOR ART**

The section of the patent application subtitled "Background of the Invention" identifies material believed to be material to, or of interest in, the examination of the application and provides a concise explanation of the material. This Information Disclosure Statement also transmits copies of patents identified in that subsection of the patent application titled "Description of Related Art," along with other information which the undersigned respectfully requests the Examiner to consider in the examination of the application. If copies of the other materials cited in the

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"Background of the Invention" can be readily obtained by the Applicant, they will also be transmitted to the Patent and Trademark Office. The Examiner is also requested to initial as indicated in the attached Form PTO-1 449 if a citation is considered and draw a line through a citation not considered, and include a copy of Form PTO-1449 with the next communication to counsel for the Applicant. Enclosed is a copy of every patent uncovered in a search conducted as specified in the Petition to Make Special that is enclosed herewith.

While the Information Disclosure Statement and the patents, publications, and other information provided hereby may be "material" pursuant to 37 C.F.R. §§ 1.56, it is not intended that these constitute an admission of "prior art" for this invention unless expressly designated as such. Although a search has been made of United States patents, and the inventor has added other information in the specification, this Information Disclosure Statement shall not be construed to mean that no other material information, as defined in 37 C.F.R. §§ 1.56, exists.

## II. **FEE**

The present Information Disclosure statement is being filed prior to the receipt of a first Official Action reflecting an examination on the merits and hence is believed to be timely in accordance with 37 C.F.R. § 1.97(b). Accordingly, no fees are believed to be due in connection with the filing of this Information Disclosure Statement. However, should any fees be deemed necessary (except payment of the issue fee), the Commissioner is authorized to charge any deficiency or to credit any over payment to Deposit Account No. 50-0235.

## III. **SIGNATURE**

The patent attorney signs below based on information from the inventor's and the attorney's file.

Respectfully submitted,

Date: 1/20/2002



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